

FORM PTO-1390  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

11137/05006

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**09/936190**

INTERNATIONAL APPLICATION NO.

PCT/US00/05915

INTERNATIONAL FILING DATE

8 March 2000 (08.03.00)

PRIORITY DATE CLAIMED

8 March 1999 (08.03.99)

TITLE OF INVENTION

GENETIC MANIPULATION OF ISOFLAVONOIDS

APPLICANT(S) FOR DO/EO/US

RICHARD A. DIXON, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: **Statement Under WIPO Standard ST.25**

Express Mail No.: EL 794556213 US

10 September 2001

I hereby certify that this application is being deposited with the United States Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above

page 1 of 2

and is addressed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231.

Lottie Davis

(Typed or Printed Name of Person Mailing Application )

  
 (Signature of Person)

U.S. APPLICATION NO. (37 CFR 1.53)

09/936190

INTERNATIONAL APPLICATION NO.

PCT/US00/05915

ATTORNEY'S DOCKET NUMBER

11137/05006

21. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO..... \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	92 - 20 =	72	x \$18.00	\$1,296.00
Independent claims	21 - 3 =	18	x \$80.00	\$1,440.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 270.00

TOTAL OF ABOVE CALCULATIONS =

\$3,996.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

\$1,998.00

SUBTOTAL =

\$1,998.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$1,998.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$1,998.00

Amount to be  
refunded:

\$

charged:

\$

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 18-1260 in the amount of \$ 1,998.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 18-1260. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Eugenia S. Hansen  
Sidley Austin Brown & Wood  
717 N. Harwood, Suite 3400  
Dallas, Texas 75201

SIGNATURE

Karen L. Knezek

NAME

39,253

REGISTRATION NUMBER

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

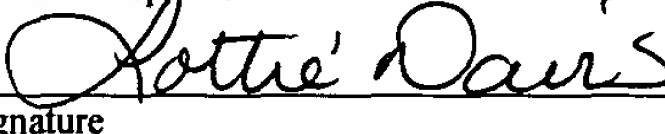
In re application of:

Richard A. Dixon, et al.

For: **GENETIC MANIPULATION OF ISOFLAVONOIDS**

Application Serial No. Unassigned

Filing Date: Concurrently herewith

International  
Application No.: PCT/US00/05915International  
Filing Date: 08 March 2000Assistant Commissioner for Patents  
Box PCT  
Washington, D.C. 20231EXPRESS MAIL NO. EL794556213US DATE OF DEPOSIT 10 September 2001  
I hereby certify that this correspondence is being deposited with the United States Postal  
Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date  
indicated above and is addressed to the Assistant Commissioner for Patents, Box PCT,  
Washington, D.C. 20231 on 10 September 2001  
(Date of Deposit)Lottie Davis  
Name of Depositor

Signature

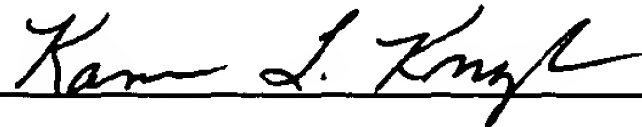
Date of Signature: 10 September 2001

Dear Sir:

## STATEMENT UNDER WIPO STANDARD ST.25

This statement is being filed pursuant to the WIPO Standard ST.25 and pursuant to Administrative Instructions, Section 208. Applicants are filing concurrently herewith a Sequence Listing in paper copy and computer readable form. The undersigned hereby states that the sequence information recorded in computer readable form is identical to the written Sequence Listing furnished in the international patent application as filed and that the Sequence Listing does not go beyond the international application. The undersigned hereby states that the Sequence Listing in paper copy filed concurrently herewith and the sequence listing in computer readable form are the same.

Respectfully submitted,

By: Karen L. Knezek  
Registration No. 39,253KLK\ld  
10 September 2001  
Sidley Austin Brown & Wood  
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Dallas, Texas 75201-6507  
(214) 981-3300